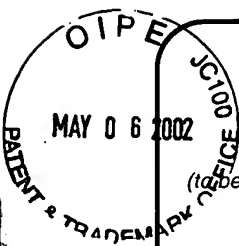


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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/080,111
Filing Dat	February 21, 2002
First Named Inventor	Roland Rupp et al.
Group Art Unit	
Examiner Name	
Total Number of Pages in This Submission	Attorney Docket Number 4965-000121

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MAY 08 2002

## ENCLOSURES (check all that apply)

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<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <b>English Translation of the International Preliminary Examination Report; and postcard.</b>
Remarks		The Commissioner is hereby authorized to charge any additional fees that may be required under 37 CFR 1.16 or 1.17 to Deposit Account No. 08-0750. A duplicate copy of this sheet is enclosed.

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Harness, Dickey & Pierce, P.L.C.	Attorney Name	Christopher M. Brock	Reg. No.	27313
Signature					
Date	April 29, 2002				

## CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, or facsimile transmitted to the U.S. Patent and Trademark Office on the date indicated below.

Typed or printed name	Christopher M. Brock		
Signature		Date	April 29, 2002

**Translation**

PATENT COOPERATION TREATY

**PCT**

**INTERNATIONAL PRELIMINARY EXAMINATION REPORT**

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference 4035P111WO WW/fr	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/EP00/08062	International filing date (day/month/year) 18 August 2000 (18.08.00)	Priority date (day/month/year) 23 August 1999 (23.08.99)
International Patent Classification (IPC) or national classification and IPC H04L 12/00		
<b>RECEIVED</b>		
Applicant PILZ GMBH & CO. MAY 08 2002		

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<p>1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of <u>6</u> sheets, including this cover sheet.</p> <p><input checked="" type="checkbox"/> This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).</p> <p>These annexes consist of a total of <u>4</u> sheets.</p>
<p>3. This report contains indications relating to the following items:</p> <p>I <input checked="" type="checkbox"/> Basis of the report</p> <p>II <input type="checkbox"/> Priority</p> <p>III <input type="checkbox"/> Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</p> <p>IV <input type="checkbox"/> Lack of unity of invention</p> <p>V <input checked="" type="checkbox"/> Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</p> <p>VI <input type="checkbox"/> Certain documents cited</p> <p>VII <input checked="" type="checkbox"/> Certain defects in the international application</p> <p>VIII <input type="checkbox"/> Certain observations on the international application</p>

Date of submission of the demand 16 March 2001 (16.03.01)	Date of completion of this report 03 December 2001 (03.12.2001)
Name and mailing address of the IPEA/EP	Authorized officer
Facsimile No.	Telephone No.

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

PCT/EP00/08062

## 1. Basis of the report

## 1. With regard to the elements of the international application:\*

- ☐ the international application as originally filed
- ☒ the description:  
pages 1-28, as originally filed  
pages \_\_\_\_\_, filed with the demand  
pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_
- ☒ the claims:  
pages \_\_\_\_\_, as originally filed  
pages \_\_\_\_\_, as amended (together with any statement under Article 19  
pages \_\_\_\_\_, filed with the demand  
pages 1-12, filed with the letter of 08 October 2001 (08.10.2001)
- ☒ the drawings:  
pages 1/3-3/3, as originally filed  
pages \_\_\_\_\_, filed with the demand  
pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_
- ☐ the sequence listing part of the description:  
pages \_\_\_\_\_, as originally filed  
pages \_\_\_\_\_, filed with the demand  
pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_

## 2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language \_\_\_\_\_ which is:

- ☐ the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of the translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

## 3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. ☐ The amendments have resulted in the cancellation of:

- ☐ the description, pages \_\_\_\_\_
- ☒ the claims, Nos. 13
- ☐ the drawings, sheets/fig \_\_\_\_\_

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).\*\*

\* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rule 70.16 and 70.17).

\*\* Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement****1. Statement**

Novelty (N)	Claims	1-12	YES
	Claims		NO
Inventive step (IS)	Claims	1-12	YES
	Claims		NO
Industrial applicability (IA)	Claims	1-12	YES
	Claims		NO

**2. Citations and explanations**

1. This report makes reference to the following documents:

D1: EP-A-0 817 423 (HAGER ELECTRO S.A.), 7 January 1998 (1998-01-07)

D2: EP-A-0 905 594 (PHOENIX CONTACT GMBH & CO), 31 March 1999 (1999-03-31).

2. The subject matter of Claims 1 and 12 appears to be novel and to involve an inventive step.

- 2.1 In the terminology of Claim 1, D1 discloses a method for configuring a secure bus subscriber station (see the title and Claim 1) when the station is connected to a field bus in a secure control system, a defined subscriber address being associated with the secure bus subscriber station; the method has the following steps:

- transmission of a first log-on telegram (see Claim 2 in column 21, lines 16-22) from the secure bus subscriber station to a management unit connected to the field bus, the first log-on telegram containing a fixed universal address;
- transmission of an address allocation telegram

(see Claim 3 in column 21, lines 24-30) from the management unit to the secure bus subscriber station, the address allocation telegram containing the defined subscriber address; and

- storing the defined subscriber address (see Claim 3 in column 21, lines 24-30) in a memory of the secure bus subscriber station.

The subject matter of Claim 1 also differs from the prior art known from D1 in that the secure bus subscriber station sends the first log-on telegram to the management unit after it receives a defined service telegram.

The subject matter of Claim 1 therefore addresses the problem of devising a method that meets increased security requirements for communications.

Proceeding from D1, the solution to this problem is neither disclosed nor suggested by the prior art. D2 discloses an interbus system in which data are additionally transmitted in negated form in order to increase communication security. It does not disclose the operation of a bus subscriber station on the basis of service telegrams.

The subject matter of Claim 1 therefore appears to be novel and to involve an inventive step.

2.2 Claim 12 defines the subject matter of claim 1 on the basis of device features which correspond to the method steps defined in Claim 1. Consequently, the above explanations with regard to the novelty and obviousness of the subject matter of Claim 1 likewise apply to Claim 12. The subject matter of

Claim 12 therefore also appears to be novel and to involve an inventive step.

3. Dependent Claims 2-11 concern developments of the method as per Claim 1. The subject matter of dependent Claims 2-11 therefore also appears to be novel and to involve an inventive step.
4. The subject matter of Claims 1-12 is unquestionably industrially applicable.

## VII. Certain defects in the international application

The following defects in the form or contents of the international application have been noted:

5. Pursuant to PCT Rule 5.1(a)(ii), the description should have cited documents D1 and D2 and briefly outlined the relevant prior art (see also the PCT International Preliminary Examination Guidelines, Chapter II-4.4).
6. When the applicant submitted amended claims, he should at the same time have brought the description into line with the amended claims (PCT Rule 5.1(a)(iii)). This concerns, in particular, the paragraphs from page 7, line 1 to page 14, line 18, which practically literally reproduce the wording of the claims.